

Form PTO-1449 (modified)

Atty. Docket No. NewMrkt-
P99-4Serial No.
09/467646

List of Patents and Publications for Applicant's

INFORMATION DISCLOSURE STATEMENT

Applicant: Anthony F. Herbst et al.

Filing Date:

December 20, 1999

Group:

2768

Technology Center 2100

(Use several sheets if necessary)

U.S. Patent Documents

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Foreign Patent Documents

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Other Art

See Page 2

U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date if App.
<i>Dm</i>	A1	5,126,936	Jun. 30, 1992	Goal-Directed Financial Asset Management System	364	408	Sept. 1, 1989
<i>Dm</i>	A2	5,148,365	Sept. 15, 1992	Scenario Optimization	364	402	Aug. 15, 1989
<i>Dm</i>	A3	5,227,967	Jul. 13, 1993	Security Instrument Data System Without Property Inapplicable Nulls	364	408	Mar. 20, 1989
<i>Dm</i>	A4	5,799,287	Aug. 25, 1998	Method and Apparatus for Optimal Portfolio Replication	705	36	May 20, 1997
<i>Dm</i>	A5	5,806,048	Sept. 8, 1998	Open End Mutual Fund Securitization Process	705	36	Oct. 12, 1995
<i>Dm</i>	A6	5,819,238	Oct. 6, 1998	Apparatus and Accompanying Methods for Automatically Modifying a Financial Portfolio Through Dynamic Re-Weighting Based on a Non-Constant Function of Current Capitalization Weights	705	36	Dec. 13, 1996
<i>Dm</i>	A7	6,018,722	Jan. 25, 2000	S.E.C. Registered Individual Account Investment Advisor Expert System.	705	36	Jan. 19, 1997

Foreign Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No
	B1						

EXAMINER:

Dm M Kee

DATE CONSIDERED:

7/9/02

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)

C: 56468(NEWMRKT.P99-4.1449.2)

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Other Art

See Page 2

Foreign Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No
	B2						

Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
<i>Dwh</i>	C1	Risk Watch, http://www.algorithmics.com/products/riskwatch1.html

EXAMINER: *David M. Lee*DATE CONSIDERED: *7/9/02*

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INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)